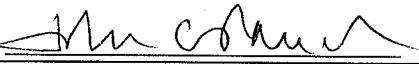


CERTIFICATE OF ELECTRONIC FILING

I hereby certify that this correspondence is being filed electronically with the U.S. Patent and Trademark Office on the below date:

Date September 4, 2007 Name: John G. Rauch Signature: 

Our Case No. 10790/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Curt Conklin, et al.

Serial No. 09/896,760

Filing Date: June 29, 2001

For **METHOD AND SYSTEM FOR
ENHANCED DISTRIBUTION OF
FINANCIAL INSTRUMENTS**

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)
)
) Examiner: Poinvil, Frantzy

)
) Group Art Unit No. 3692
) Confirmation No. 2007
)
)
)

INTERVIEW SUMMARY

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Communication dated August 1, 2007, please enter the following Applicant's Interview Summary.

On July 17, 2007, a telephonic interview was had between he undersigned attorney and the Examiner. The following points were made to the Examiner:

Both the present invention and the Hambrecht reference related to selling of securities or financial instruments. However, the present invention uses market data to set a price for the financial instrument. Hambrecht instead uses an auction among subscribers to set the price. Hambrecht relates to an Initial Public Offering of a security, which is a one-time offering of the security. There is no previous transaction involving the security to use as a basis for modeling the transaction. Because of this distinction, it was submitted that Hambrecht could not anticipate the claimed invention.

Application no. 09/896,760
Interview Summary dated: September 4, 2007
Reply to Communication dated: August 1, 2007

Hambrecht was the only reference discussed. There was no agreement reached on the allowability of the claims.

With this response, the application is believed to be in condition for further action on the merits. Should the examiner deem a telephone conference to be of assistance in advancing the application to allowance, the examiner is invited to call the undersigned attorney at the telephone number below.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "John G. Rauch", is written over a horizontal line.

John G. Rauch
Registration No. 37,218
Attorney for Applicant

September 4, 2007
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